

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

YAEHASHI et al.

Serial No: Not assigned (parent 10/429,460)

Filed: January 29, 2004

For: NON-VOLATILE SEMICONDUCTOR  
MEMORY DEVICE AND ITS  
MANUFACTURING METHOD

Art Unit: Not assigned

Examiner: Not assigned

**TRANSMITTAL OF INFORMATION  
DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

1. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application other than a continued prosecution application, or within three months of the date of entry into the national stage of an international application, or before the mailing date of a first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under §1.114, whichever event occurs last. 37 C.F.R. §1.97(b).
2. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(b), but *before* the mailing date of a final action under §1.113, or a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, whichever occurs first. A statement specified in §1.97(e) or a fee set forth in §1.17(p) is included. 37 C.F.R. §1.97(c).

**§1.97(e) STATEMENT**

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification

after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

**OR FEE**

- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00). [OR:] Please charge the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00) to Deposit Account No. 50-1314. A copy of this petition is enclosed.
3. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(c), but before, or simultaneously with the payment of the issue fee. A statement specified in §1.97(e) and a fee set forth in §1.17(p) are included. 37 C.F.R. §1.97(d).

**§1.97(e) STATEMENT**

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

**OR**

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

**AND FEE**

- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(d). (\$180.00).
4. ☒ If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. **A copy of this petition is enclosed.**

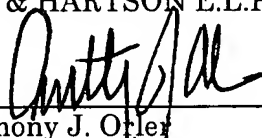
5. ☒ A list of 19 reference(s) is in the enclosed Form PTO-1449. Pursuant to 37 C.F.R. § 1.98(d), copies of the listed reference(s) are not provided since they were submitted in parent application Serial No. 10/138,849, the benefit of the filing date of which is claimed herein under 35 U.S.C. § 120.

**NON-ENGLISH LANGUAGE REFERENCES**

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:

Respectfully submitted,  
HOGAN & HARTSON L.L.P.

By: \_\_\_\_\_

  
Anthony J. Orlor  
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<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	<b>Docket Number (Optional)</b> 81790.0311	<b>Application Number</b> Not assigned
	<b>Applicant</b> YAEGASHI et al.	
	<b>Filing Date</b> January 29, 2004	<b>Group Art Unit</b> Not assigned

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,989,957	11-1999	Ngo et al.	438	257	
	5,841,174	11-1998	Arai	257	392	
	5,852,311	12-1998	Kwon et al.	257	315	
	5,913,120	06-1999	Cappelletti	438	257	
	5,600,164	02-1997	Ajika et al.	257	321	
	5,824,583	10-1998	Asano et al.	438	258	

### FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	62-045165	02-1987	Japan				
	08-23041	01/23/96	Japan				
	05-190811	07/30/93	Japan				
	05-183134	07-1993	Japan	438	396		
	02-246376	10-1990	Japan	257	320		
	62-23149	7/24/85	Japan		27/10		
	62-76668	9/30/85	Japan		27/10		
	7-297304	3/24/95	Japan		21/8247		

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	HANNON, et al., "0.25 $\mu$ m Merged Bulk DRAM and SOI Logic Using Patterned SOI", 2000 Symposium on VLSI Technology Digest of Technical Papers pages, 66 - 67
	SCHEUERLEIN, et al., "A 10ns Read and Write Non-Volatile Memory Array Using a Magnetic Tunnel Junction and FET Switch in each Cell", ISSCC 2000/Session 7/TD: Emerging Memory & Device Technologies/ Paper TA 7.2, pages 128 - 129
	YAMADA, et al., "An Embedded DRAM Technology on SOI/Bulk Hybrid Substrate Formed with SEG Process for High-End SOC Application", 2002 Symposium On VLSI Technology Digest of Technical Papers, pages 112 - 113
	HANNON, et al., "0.25 $\mu$ m Merged Bulk DRAM and SOI Logic Using Patterned SOI", 2000 Symposium on VLSI Technology Digest of Technical Papers pages, 66 - 67
	Wolf, et al. "Silicon Processing for the VLSI Era," 1986, Lattice Press, Vol. 1, pages 384-388

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	